

MAINE PUBLIC UTILITIES COMMISSION

FILING INSTRUCTIONS FOR ANNUAL FINANCIAL PUC REPORTS

In 2012, the Commission implemented a new electronic Case Management System (CMS). CMS will also be used to file annual financial PUC reports. **Annual Revenues must be submitted by April 1, 2015** Extensions until May 1, 2015 may be granted to file the actual report – please send an email to Lucretia.smith@maine.gov to request an extension no later than **March 27, 2015**. The financial annual reports are not web based but in Excel format as in previous years -- the report templates are available on the Commission's web site at: <http://www.maine.gov/mpuc/online/forms.shtml>

A. Registration (if you have already registered, go to Step B – Submitting Annual Report)

In order to file the financial annual report in CMS, the person actually submitting the report must become a registered user in our system. You may register at: <https://mpuc-cms.maine.gov/CQM.Custom.WebUI/Registration/UserRegistrationForm.aspx>

- Fill in the fields noting the following guidelines:
 - Required fields are denoted by red asterisks.
 - User IDs must be at least 8 characters long and cannot have spaces
 - Passwords must be at least 8 characters long and must include numbers, at least one Upper Case Letter, and at least one special character
 - The first Company/Organization field is the company you work for – for example ABC Consulting which may not be the company you represent for PUC purposes
 - The Representing Company/Organization field is for the company for which you are submitting an annual report. To populate your profile with the company or companies that you represent, click the “Add” hyperlink. All regulated utilities will be available to choose from. The window allows you to add criteria to shorten the list to select from, such as utility type, the first few letters of the company name, etc. Check the box next to the company(ies) you wish to add and click on the select button.
 - You may add more than one company or organization. You may return to the screen in the future to add more companies/organizations or to remove them.
- The Registration screen requires the use of SPAM proof software called reCAPTCHA, so you will have to enter the two odd words presented to you in order to complete the registration process. If you cannot read one or more of the words, click on the refresh icon on the top right to get a new pair of words until you can read both.
- After submitting your registration you will receive an email notification with a hyperlink and instructions. You must go to the hyperlinked page and confirm your registration. (if clicking on the hyperlink does not work in your email system, copy and paste it into your

browser's URL field to go to the confirmation screen. You are now registered to submit documents into CMS.

B. Submitting Financial Annual Report

- Log into CMS
- Hover cursor over "Annual Report File" on menu on left hand of screen; click on "Submit Annual Report"
- Select Utility Name from drop down listing for "Pertaining to Utility/Company"
- The system pulls the regulatory contact information from the records in the system – if this is incorrect, please contact the Commission at maine.puc@maine.gov
- Billing information – these are mandatory fields and represent where the PUC annual assessment invoice will be sent – the address does not have to match the information for the regulatory contact
- Report for Year – this is a mandatory field and is for the calendar year of the report (for example the report filed in 2015 is for 2014)
- Annual Revenues Subject to Assessment – these represents gross revenues subject to PUC assessment. Refer to the specific cover letter for your utility type to determine where this number should be pulled from in the report
- Name of Person Completing Annual Report – this field should be auto filled with the name of the person making the filing
- Click on "Verify Contact Information of Person Completing this Annual Report" to verify that the contact information is correct – if it isn't, you may update the information from the next screen; if it is correct, click confirm
- Double check the information included on this screen as you cannot change this information once you click "Submit"
- Click Submit
- Click OK to confirm submission – you will receive the following message:

Preliminary Annual Report Assessment has been submitted successfully with Tracking Number ARUF-2012-00444. Please note Tracking Number for further reference.

Click [here](#) to submit the Analysis Key Fields and/or attach Annual Report

- If you are prepared to file the annual report, click "here" to proceed
- The next page brings up utility industry specific key analysis fields – this information should be available from your annual report – any field with a red asterisk is mandatory - we request that you complete the fields even if they are not mandatory as it will help the Commission generate comparative data in the future
- Security type: The radio button for Public is the default position. Click Confidential if you are filing a confidential annual report. Please note that unless you have requested and received a specific protective order, your annual report is public is not confidential. Annual reports are protected in only rare instances.

- Click Attach Document or Attach Confidential Document
- A second window will open to allow you to Browse your computer for the electronic copy of the annual report -- click Attach
- For confidential documents, you must attach a redacted copy as well as the confidential version -- you will be required to associate the proper protective order for each confidential annual report
- If the information in the key analysis fields contains confidential information, please click the radio box in front of "This data includes confidential information pursuant to the Commission issued Protective Order"
- Click Submit

C. Troubleshooting

- Check that your browser allows pop-ups from <https://mpuc-cms.maine.gov>
- In some cases a small window will open up in back of the larger browser window – if you click on "Attach document" and nothing seems to happen, minimize the larger screen or look to the bottom of your screen to see if there is another window opened
- If the utility company is not in the list for you to choose from check your profile to ensure that you have included that Company as one you are representing

If you have any questions on the above process, please contact Lucretia A. Smith at (207) 287-1383 or by email at Lucretia.smith@maine.gov